

KINDEL CHARLES E. JR.
 Form 3
 August 09, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
 OMB Number: 3235-0104
 Expires: January 31, 2005
 Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
 Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

| | | | | |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| KINDEL CHARLES E. JR. | | (Month/Day/Year) | CONTROL4 CORP [CTRL] | |
| (Last) | (First) | (Middle) | 08/03/2018 | |
| 11734 SOUTH ELECTION ROAD | | | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| (Street) | | | (Check all applicable) | |
| SALT LAKE CITY, UT 84020 | | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | (give title below) (specify below) | <input type="checkbox"/> Form filed by More than One Reporting Person |
| | | | SVP of Products | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock | 6 | I | By 401(k) Plan ⁽¹⁾ |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
|--|--|---|--|--|---|

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| | Date Exercisable | Expiration Date | | Amount or Number of Shares | | or Indirect (I) (Instr. 5) | |
|--|------------------|-----------------|--------------|----------------------------|------|----------------------------|---|
| Restricted Stock Units | Â (2) | Â (2) | Common Stock | 20,200 | \$ 0 | D | Â |
| Restricted Stock Units | Â (3) | Â (3) | Common Stock | 10,100 | \$ 0 | D | Â |
| Performance-based Restricted Stock Units | Â (4) | Â (4) | Common Stock | 10,100 | \$ 0 | D | Â |
| Performance-based Restricted Stock Units | Â (5) | Â (5) | Common Stock | 7,750 | \$ 0 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------|-------|
| | Director | 10% Owner | Officer | Other |
| KINDEL CHARLES E. JR. 11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT 84020 | Â | Â | Â SVP of Products | Â |

Signatures

/s/ Jonathan Tanner, attorney-in-fact for Charles Edward Kindel Jr.

08/09/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) Shares held in Reporting Person's 401(k) Plan.

(2) This RSU was granted June 1, 2018. One-fourth of the shares in the award will vest on August 15, 2018. The next 1/4 of the shares will vest on November 15, 2018, the next 1/4 on May 15, 2019, and the remaining 1/4 on November 15, 2019.

(3) This RSU was granted on June 1, 2018. One-third of the shares in the award will vest on February 15, 2019. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly on the 15th of May, August, November and February in each of the following eight quarters.

(4) This PSU award was granted on June 1, 2018. One-third of the shares in the award will vest on February 15, 2019 due to the achievement of a certain 2018 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.

(5) This PSU award was granted on June 1, 2018, and upon the certification that certain 2018 financial performance goals were achieved, these shares will vest in proportion to the achievement of such goals on February 15, 2019, subject to the reporting person's continuous service to the Issuer on each such date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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